

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **33-003**
 First Inventor or Application Identifier **YASUDA et al.**
 Title **OPTICAL MODULE**
 Express Mail Label No. _____

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents
Box Patent Application
Alexandria, VA 22313-1450

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **24**]
 -Descriptive title of the Invention
 -Cross Reference to Related Applications
 -Background of the Invention
 -Summary of the Invention
 -Brief Description of the Drawings
 -Detailed Description of the Preferred Embodiment
 -Claims
 -Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **5**]
4. Oath or Declaration [Total Sheets **4**]
 a. ☒ Newly executed (original or copy)
 b. ☐ Copy from a prior application (37 C.F.R. § 1.63 (d))
 (for continuation/divisional with Box 16 completed)
 i. ☐ DELETION OF INVENTOR(S)
 Signed statement attached deleting
 inventor(s) named in the prior application,
 see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

NOTE: FOR FEES TO BE PAID IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
 FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT
 IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28)

5. ☐ Microfiche Computer Program (Appendix)
 6. Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
 a. ☐ Computer Readable Copy
 b. ☐ Paper Copy (identical to computer copy)
 c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
 8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
 9. ☐ English Translation Document (if applicable)
 10. ☒ Information Disclosure Statement (IDS/PTO-1449) ☒ Copies of IDS Citations
 11. ☐ Preliminary Amendment
 12. ☒ Return Receipt Postcard (MPEP 503)
 (should be specifically itemized)
 *Small Entity
 13. ☐ Statement(s) (PTO/SB-09-12) ☐ Statement filed in prior application,
 Status still proper and desired
 14. ☒ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
 15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information: Examiner _____

Group/Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. or Bar Code Label here)

or ☐ Correspondence address below

Name _____
 Address _____
 City _____ State _____ Zip Code _____
 Country _____ Telephone (703) 707-9110 Fax (703) 707-9112

Name (Print/Type) **David G. Posz** Registration No. (Attorney/Agent) **37,701**
 Signature _____ Date **September 8, 2003**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Arlington, VA 22202. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Alexandria, VA 22313-1450.

22151 U.S. PTO
 10/656327
 09/08/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)**790**

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | |
| Filing Date | September 8, 2003 |
| First Named Inventor | YASUDA et al. |
| Examiner Name | |
| Group/Art Unit | |
| Attorney Docket No. | 33-003 |

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-1147**

Deposit Account Name **POSZ & BETHARDS, PLC**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION (continued)

| 3. ADDITIONAL FEES | | Fee Description | | Fee Paid |
|-----------------------------------|----------------------------|--|--|----------|
| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | | | |
| 1051 130 | 2051 85 | Surcharge - late filing fee or oath | | |
| 1052 50 | 2052 25 | Surcharge - late provisional filing fee or cover sheet | | |
| 1053 130 | 1053 130 | Non-English specification | | |
| 1812 2,520 | 1812 2,520 | For filing a request for reexamination | | |
| 1804 920* | 1804 920* | Requesting publication of SIR prior to Examiner action | | |
| 1805 1,840* | 1805 1,840* | Requesting publication of SIR after Examiner action | | |
| 1251 110 | 2251 55 | Extension for reply within first month | | |
| 1252 410 | 2252 205 | Extension for reply within second month | | |
| 1253 930 | 2253 460 | Extension for reply within third month | | |
| 1254 1450 | 2254 725 | Extension for reply within fourth month | | |
| 1255 1970 | 2255 985 | Extension for reply within fifth month | | |
| 1401 320 | 2401 160 | Notice of Appeal | | |
| 1402 320 | 2402 160 | Filing a brief in support of an appeal | | |
| 1403 280 | 2403 140 | Request for oral hearing | | |
| 1451 1,510 | 1451 1,510 | Petition to institute a public use proceeding | | |
| 1452 110 | 2452 55 | Petition to revive - unavoidable | | |
| 1453 1,300 | 2453 650 | Petition to revive - unintentional | | |
| 1501 1300 | 2501 650 | Utility issue fee (or reissue) | | |
| 1502 470 | 2502 235 | Design issue fee | | |
| 1503 630 | 2503 315 | Plant issue fee | | |
| 1460 130 | 1460 130 | Petitions to the Commissioner | | |
| 1807 50 | 1807 50 | Petitions related to provisional applications | | |
| 1808 180 | 1808 180 | Submission of information Disclosure Stmt | | |
| 8021 40 | 8021 40 | Recording each patent assignment per property (times number of properties) | | 40 |
| 1809 750 | 2809 375 | Filing a submission after final rejection (37 CFR § 1.129(a)) | | |
| 1810 750 | 2810 375 | For each additional invention to be examined (37 CFR § 1.129(b)) | | |
| Other fee (specify) _____ | | | | |
| Other fee (specify) _____ | | | | |
| *Reduced by Basic Filing Fee Paid | | | | |
| SUBTOTAL (3) | | | | \$ 40 |

SUBTOTAL (1) (\$)**750**

2. EXTRA CLAIM FEES

| Total Claims | Fee Code (\$) | Fee Description | Fee Paid |
|--------------|---------------|-----------------|----------|
| 14 | 20** | 0 | 18 |
| 2 | 3** | 0 | 84 |

Multiple Dependent

*Or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|---|
| 1202 18 | 2202 9 | Claims in excess of 20 |
| 1201 84 | 2201 42 | Independent claims in excess of 3 |
| 1203 280 | 2203 140 | Multiple dependent claim, if not paid |
| 1204 84 | 2204 42 | **Reissue independent claims over original patent |
| 1205 18 | 2205 9 | **Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | \$ 0 |

| | | | |
|-------------------|---------------|-----------------------------------|-------------------|
| SUBMITTED BY | | Complete (if applicable) | |
| Name (Print/Type) | David G. Posz | Registration No. (Attorney/Agent) | 37,701 |
| Signature | | Telephone | (703) 707-9110 |
| | | Date | September 8, 2003 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Arlington, VA 22202. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Alexandria 22313-1450.